



Attorney Docket No.: 02307Z-132800US

Client Reference No.: 2003-145-1

DECLARATION

As a below named inventor, I declare that:

My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **NANOCOMPOSITES OF SILICON NITRIDE, SILICON CARBIDE, AND BORON NITRIDE** the specification of which ____ is attached hereto or X was filed on February 6, 2004 as Application No. 10/773,758 and was amended on _____ (if applicable).

I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56. I claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Country	Application No.	Date of Filing	Priority Claimed Under 35 USC 119

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below:

Application No.	Filing Date

I claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Application No.	Date of Filing	Status

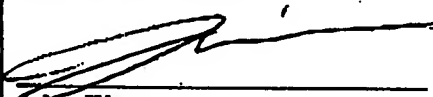
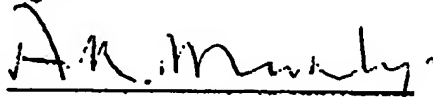

Full Name of Inventor 1:	Last Name: WAN	First Name: JULIN	Middle Name or Initial:	
Residence & Citizenship:	City: Schenectady	State/Foreign Country: New York	Country of Citizenship: Peoples Republic of China	
Post Office Address:	Post Office Address: 2150 Rosa Road, Apartment B1A	City: Schenectady	State/Country: New York	Postal Code: 12309
Full Name of Inventor 2:	Last Name: MUKHERJEE	First Name: AMIYA	Middle Name or Initial: K.	
Residence & Citizenship:	City: Davis	State/Foreign Country: California	Country of Citizenship: United States	
Post Office Address:	Post Office Address: 1123 Purdue Drive	City: Davis	State/Country: California	Postal Code: 95616

Attorney Docket No.: 02307Z-132800US

Client Reference No.: 2003-145-1

Full Name of Inventor 3:	Last Name: GASCH	First Name: MATTHEW	Middle Name or Initial: J.	
Residence & Citizenship:	City: Sacramento	State/Foreign Country: California	Country of Citizenship: United States	
Post Office Address:	Post Office Address: 5565 Swadly Way	City: Sacramento	State/Country: California	Postal Code: 95835

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signature of Inventor 1  John Wan Date 7/15/04	Signature of Inventor 2  Amiya K. Mukherjee Date 5/19/04	Signature of Inventor 3  Matthew J. Gasch Date
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60174855 v1



Attorney Docket No.: 02307Z-132800US

Client Reference No.: 2003-145-1

DECLARATION

As a below named inventor, I declare that:

My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **NANOCOMPOSITES OF SILICON NITRIDE, SILICON CARBIDE, AND BORON NITRIDE** the specification of which is attached hereto or X was filed on February 6, 2004 as Application No. 10/773,758 and was amended on (if applicable).

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Prior Foreign Application(s)

Country	Application No.	Date of Filing	Priority Claimed Under 35 USC 119

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Application No.	Date of Filing	Status

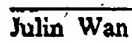
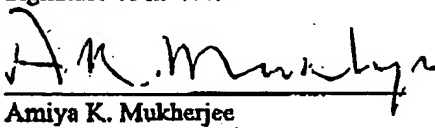
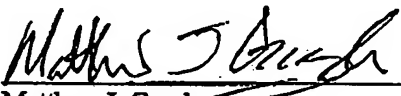
Full Name of Inventor 1:	Last Name: WAN	First Name: JULIN	Middle Name or Initial:	
Residence & Citizenship:	City: Schenectady	State/Foreign Country: New York	Country of Citizenship: Peoples Republic of China	
Post Office Address:	Post Office Address: 2150 Rosa Road, Apartment B1A	City: Schenectady	State/Country: New York	Postal Code: 12309
Full Name of Inventor 2:	Last Name: MUKHERJEE	First Name: AMIYA	Middle Name or Initial: K.	
Residence & Citizenship:	City: Davis	State/Foreign Country: California	Country of Citizenship: United States	
Post Office Address:	Post Office Address: 1123 Purdue Drive	City: Davis	State/Country: California	Postal Code: 95616

Attorney Docket No.: 02307Z-132800US

Client Reference No.: 2003-145-1

Full Name of Inventor 3:	Last Name: GASCH	First Name: MATTHEW	Middle Name or Initial: J.	
Residence & Citizenship:	City: Sacramento	State/Foreign Country: California	Country of Citizenship: United States	
Post Office Address:	Post Office Address: 5565 Swadly Way	City: Sacramento	State/Country: California	Postal Code: 95835

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signature of Inventor 1	Signature of Inventor 2	Signature of Inventor 3
		
Julin Wan	Amiya K. Mukherjee	Matthew J. Gasch
Date	Date 5/19/04	Date 5-25-04

60174855 v1

PTO/SB/01 (09-03)

**POWER OF ATTORNEY
and
CORRESPONDENCE ADDRESS
INDICATION FORM**

Application Number	10/773,758
Filing Date	2/6/04
First Named Inventor	Julin Wan et al.
Title	NANOCOMPOSITES OF SILICON NITRIDE, SILICON CARBIDE, AND BORON NITRIDE
Art Unit	1755
Examiner Name	
Attorney Docket Number	02307Z-132800US UC Case No. 2003-145-1

I hereby appoint:

☒ Practitioners associated with the Customer Number

20350

OR

☐ Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:

☒ The address associated with the above-mentioned Customer Number.

OR

☐ The address associated with Customer Number.

OR

☐ Firm or
Individual Name

Address

Address

City

State

ZIP

Country

Telephone

Fax

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

SIGNATURE of Applicant or Assignee of Record

Name	Linda S. Stevenson		
Signature	<i>Linda S. Stevenson</i>		
Date	July 30, 2004	Telephone	(510) 587-6000

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☐ *Total of _____ forms are submitted.



PTO/SB/86 (08-03)

Attorney Docket No. 02307Z-132800US
UC Case No. 2003-145-1

STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: Julin Wan, Amiya K. Mukherjee, and Matthew J. GaschApplication No./Patent No.: 10/773,758/ Filed/Issue Date: February 6, 2004 /Entitled: NANOCOMPOSITES OF SILICON NITRIDE, SILICON CARBIDE, AND BORON NITRIDE

The Regents of the University of California, a corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
 2. ☐ an assignee of less than the entire right, title and interest.
 The extent (by, percentage) of its ownership interest is _____%

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____
 The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To: _____
 The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To: _____
 The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

(NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8)

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

July 30, 2004
 Date
(510) 587-6000
 Telephone number

Linda S. Stevenson
 Typed or printed name
Linda S. Stevenson
 Signature
Manager, Patent Prosecution
 Title

TTC Attorney Docket No. 02307Z-132800US**ASSIGNMENT**U.C. Case No. 2003-146-1

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. Julia Wan 2. Amiya K. Mukherjee
 3. Matthew J. Gasch 4. _____

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located 1111 Franklin St., 12th Floor, Oakland, CA 94607-6200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

NANOCOMPOSITES OF SILICON NITRIDE, SILICON CARBIDE, AND BORON NITRIDE

and which is found in

- (a) _____ U.S. provisional application filed herewith and listing the above-named persons as inventors
 (b) _____ U.S. patent application filed herewith and listing the above-named persons as inventors
 (c) X _____ U.S. application serial no. 10/773,758, filed on February 6, 2004
 (d) _____ U.S. Patent No.: _____, issued _____

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to **ASSIGNOR** and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

15 day of July, 200419 day of May, 2004

____ day of _____, 20____

____ day of _____, 20____

Signature of Inventor(s)

Julia WanAmiya K. MukherjeeMatthew J. Gasch

TTC Attorney Docket No. 023072-132800USASSIGNMENTU.C. Case No. 2003-145-1

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. Julia Wan2. Amiya K. Mukherjee3. Matthew J. Gasch

4. _____

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located 1111 Franklin St., 12th Floor, Oakland, CA 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

NANOCOMPOSITES OF SILICON NITRIDE, SILICON CARBIDE, AND BORON NITRIDE

and which is found in

- (a) _____ U.S. provisional application filed herewith and listing the above-named persons as inventors
- (b) _____ U.S. patent application filed herewith and listing the above-named persons as inventors
- (c) X _____ U.S. application serial no. 10/773,758, filed on February 6, 2004
- (d) _____ U.S. Patent No.: _____, issued _____

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

Signature of Inventor(s)

_____ day of _____, 20____

19 day of May, 200425 day of May, 2004

_____ day of _____, 20____

Julia WanAmiya K. MukherjeeMatthew J. Gasch

rev 10/03
60174866 v1

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